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?show files;ds
File 9:Business & Industry(R) Jul/1994-2003/Oct 23
(c) 2003 Resp. DB Svcs.
File 15:ABI/Inform(R) 1971-2003/Oct 24
(c) 2003 ProQuest Info&Learning
File 16:Gale Group PROMT(R) 1990-2003/Oct 23
(c) 2003 The Gale Group
File 20:Dialog Global Reporter 1997-2003/Oct 24
(c) 2003 The Dialog Corp.
File 148:Gale Group Trade & Industry DB 1976-2003/Oct 24
(c)2003 The Gale Group
File 160:Gale Group PROMT(R) 1972-1989
(c) 1999 The Gale Group
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Set	Items	Description
S1	768961	(FINANCIAL OR ESTATE OR INVESTMENT)() (MANAGEMENT OR PLANNING OR ARRANGEMENT? ? OR ADMINIST?) OR EMPLOYEE()BENEFIT? ?
S2	11582523	ASSET? ? OR SAVINGS OR DISBURS? OR PAYMENT? ? OR PROPERT??? OR RECEIPT? ? OR ANNUIT??? OR EARNINGS OR INCOME
S3	1222246	ASSIGN? ? OR ASSIGNMENT OR ASSIGNING OR ALLOCAT??? OR ALLO-T? OR REBALANC??? OR REALLOCAT??? OR APPORTION? OR REAPPORTION?
S4	12512253	ERISA OR EMPLOYEE()RETIREMENT()INCOME()SECURITY()ACT OR REGULATORY OR REGULATION? ? OR LEGAL()RESTRAINT? ? OR OVERSEE??? OR OVERSIGHT OR ADMINISTRATION OR GOVERN??? OR ENFORC? OR RESTRICT??? OR LAW? ? OR REG OR REGS OR LEGISLATION
S5	2862291	AVOID? OR CIRCUMVENT??? OR (KEEP??? OR STAY??? OR STEER???- )() (CLEAR OR IN()MIND) OR NEGATE? ? OR NEGATING OR NEGATION OR PROHIBIT??? OR ESCAPE OR MINDFUL
S6	89730	(CONFLICT? ? OR CLASH?? OR DISHARMONY OR DISAGREE? OR INCOMPATIB?) (3N) (INTEREST OR ETHIC?? OR MORAL?? OR DUTY OR DUTIES OR PRINCIPLE? ?)
S7	189986	S3(3N) (S2 OR (INTEREST OR RETURN? ? OR PROFIT? ? OR GAIN? ? OR RESOURCES OR CAPITAL OR MONEY? ? OR MONIES OR DIVIDEND? ?- ))
S8	5709	S5(3N)S6
S9	12514362	S4 OR S8
S10	564	S1(S) (S7(S)S9)
S11	96	S1(10N) (S7(10N)S9)
S12	949	S4(S)S8
S13	0	S1(S) (S7(S)S12)
S14	3600	S4 AND S8
S15	3	S1(S) (S7(S)S14)
S16	58	S7(S)S14
S17	25	S7(10N)S14
S18	26	S15 OR S17 /
S19	23	S18 NOT PY>2001
S20	23	S19 NOT PD=20010210:20031130
S21	19	RD (unique items)

21/3,K/2 (Item 1 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2003 ProQuest Info&Learning. All rts. reserv.

02081749 62818248  
**Investment advisory services under ERISA**  
Geller, Sheldon M  
CPA Journal v70n9 PP: 42-52 Sep 2000  
ISSN: 0732-8435 JRNL CODE: CPA  
WORD COUNT: 4954

...TEXT: order to clarify its position on participant education. The bulletin indicated that the provision of \*asset\* \*allocation\* services does not cause fiduciary liability under the \*Employee\* \*Retirement\* \*Income\* \*Security\* \*Act\* of 1974 (ERISA). Nevertheless, many plan participants continue to expect specific investment recommendations, services not...

... allocation services could constitute investment advice. Interpretive Bulletin 96-1 resolved the uncertainty by excluding \*asset\* \*allocation\* services from fiduciary liability under \*ERISA\*. Although the bulletin provides four safe harbors under which the provision of investment education services...

21/3,K/5 (Item 4 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2003 ProQuest Info&Learning. All rts. reserv.

01725053 03-76043  
**Issues in financial institution capital in emerging market economies**  
Frankel, Allen B  
Economic Policy Review v4n3 PP: 213-223 Oct 1998  
JRNL CODE: EPV  
WORD COUNT: 6100

...TEXT: that countries should adopt fairly priced deposit insurance to avoid the distorting consequences for resource \*allocation\* associated with \*capital\* \*regulation\*. They argue that appropriate risk-adjusted deposit insurance premiums would provide bank owners with incentives...

21/3,K/6 (Item 5 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2003 ProQuest Info&Learning. All rts. reserv.

01690037 03-41027  
**Money and trust: Relationships between patients, physicians, and health plans**  
Goold, Susan Dorr  
Journal of Health Politics, Policy & Law v23n4 PP: 687-695 Aug 1998  
ISSN: 0361-6878 JRNL CODE: JHP  
WORD COUNT: 3243

...TEXT: M. 1986. Doctors' Decisions and the Cost of Medical Care Health. Ann Arbor, MI: Health \*Administration\*.

Goold, Susan D. 1996. \*Allocating\* Health Care \*Resources\*: Cost Utility Analysis, Informed Democratic Decision Making, or the Veil of Ignorance? Journal of Health...

21/3,K/8 (Item 7 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(c) 2003 ProQuest Info&Learning. All rts. reserv.

01564222 02-15211

**Managing client assets**

Fleming, Peter D

Journal of Accountancy v185n1 PP: 33-39 Jan 1998

ISSN: 0021-8448 JRNL CODE: JAC

WORD COUNT: 4329

ABSTRACT: Investments have always been an integral part of the \*financial\* \*planning\* process. For many years, however, CPA-financial planners only recommended what classes of investments a...

... offer implementation assistance. As traditional barriers begin to fall, CPAs today are going well beyond \*asset\* \*allocation\* and referring clients to investment managers, recommending specific securities, and in some cases even earning...

... managers face a number of issues, including making changes to their fee structures, licensing and \*regulatory\* concerns. After 20 tax seasons, Mike Ruff of Pampa, Texas, is making a transition to full-time \*investment\* \*management\* . Ruff believes CPAs have the knowledge, background, training and client trust to be effective financial...

21/3,K/10 (Item 9 from file: 15)

DIALOG(R)File 15:ABI/Inform(R)

(c) 2003 ProQuest Info&Learning. All rts. reserv.

00866901 95-16293

**No quick fix**

MacLean, Don F; Roy, J Paul Emile

CA Magazine v127n3 PP: 64-66 Apr 1994

ISSN: 0317-6878 JRNL CODE: CCA

WORD COUNT: 1847

...TEXT: quality control system needs to incorporate policies and procedures for a number of basic human \*resources\* activities, including hiring, \*assignment\* , performance evaluation, advancement, continuing professional education and \*restriction\* of professional staff activities.

**ENGAGEMENT PROCEDURES**

Providing quality services to clients requires a thoughtful, planned...

21/3,K/13 (Item 1 from file: 20)

DIALOG(R)File 20:Dialog Global Reporter

(c) 2003 The Dialog Corp. All rts. reserv.

10263293 (USE FORMAT 7 OR 9 FOR FULLTEXT)

**Tapping the private client**

INTERNATIONAL ACCOUNTING BULLETIN

March 20, 2000

JOURNAL CODE: WIAB LANGUAGE: English RECORD TYPE: FULLTEXT

WORD COUNT: 1907

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... management solution, where one institution handles everything from estate and tax planning; to the formation, \*administration\* and management of trusts and \*asset\* \*allocation\*, to day-to-day portfolio management.

"In many respects, accountants have it all," said James...

21/3,K/15 (Item 2 from file: 148)

DIALOG(R)File 148:Gale Group Trade & Industry DB

11670595 SUPPLIER NUMBER: 58577008 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Roundtable on the role of independent investment company directors: issues  
for independent directors of bank-related funds, variable insurance  
product funds, and closed-end funds.

Ambler, Diane E.

Business Lawyer, 55, 1, 205

Nov, 1999

ISSN: 0007-6899

LANGUAGE: English

RECORD TYPE: Fulltext

WORD COUNT: 22112

LINE COUNT: 01894

... to the public through bank distribution channels, typically in  
bank-sponsored investment programs such as \*asset\* \*allocation\* programs).

Issue: Do the bank exclusions from the federal securities  
\*laws\* create any unique issues requiring special  
review or monitoring by the independent directors of  
the...BANKS, MUTUAL FUNDS, AND INSURANCE COMPANIES 91

n.60 (Clifford E. Kirsch ed., 1997).

(43.) \*Asset\* \*allocation\* programs may rely on a nonexclusive safe  
harbor from \*regulation\* as an investment company See 17 C.F.R. (sections)  
270.3a-4. An asset...

21/AA,AN,TI/1 (Item 1 from file: 9)  
DIALOG(R)File 9:(c) 2003 Resp. DB Svcs. All rts. reserv.

2613741 Supplier Number: 02613741  
US regulations trigger practice sale

21/AA,AN,TI/2 (Item 1 from file: 15)  
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.

02081749 62818248  
Investment advisory services under ERISA

21/AA,AN,TI/3 (Item 2 from file: 15)  
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.  
02041158 55443110  
Electric industry CEOs forum: Five chiefs and their chosen paths to growth

21/AA,AN,TI/4 (Item 3 from file: 15)  
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.  
01753310 04-04301  
Czech planning in transition: Assets and deficiencies

21/AA,AN,TI/5 (Item 4 from file: 15)  
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.  
01725053 03-76043  
Issues in financial institution capital in emerging market economies

21/AA,AN,TI/6 (Item 5 from file: 15)  
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.  
01690037 03-41027  
Money and trust: Relationships between patients, physicians, and health plans

21/AA,AN,TI/7 (Item 6 from file: 15)  
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.  
01576234 02-27223  
Legislative control of Hong Kong financial markets: Some aspects of banking and securities regulations

21/AA,AN,TI/8 (Item 7 from file: 15)  
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.  
01564222 02-15211  
Managing client assets

21/AA,AN,TI/9 (Item 8 from file: 15)  
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.  
01539573 01-90561  
Protecting the public interest: The role of the State Attorney General in regulating hospital conversions

21/AA,AN,TI/10 (Item 9 from file: 15)  
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.  
00866901 95-16293  
No quick fix

21/AA,AN,TI/11 (Item 10 from file: 15)  
DIALOG(R)File 15:(c) 2003 ProQuest Info&Learning. All rts. reserv.  
00850794 95-00186  
The Final Act of the Uruguay Round: A summary

21/AA,AN,TI/12 (Item 1 from file: 16)  
DIALOG(R)File 16:(c) 2003 The Gale Group. All rts. reserv.  
03460630 Supplier Number: 44829745  
Berlusconi facing question of what to do with RAI

21/AA,AN,TI/13 (Item 1 from file: 20)  
DIALOG(R)File 20:(c) 2003 The Dialog Corp. All rts. reserv.  
10263293  
Tapping the private client

21/AA,AN,TI/14 (Item 1 from file: 148)  
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.  
13398676 SUPPLIER NUMBER: 71266734  
MERCHANT BANKING.

21/AA,AN,TI/15 (Item 2 from file: 148)  
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.  
11670595 SUPPLIER NUMBER: 58577008  
Roundtable on the role of independent investment company directors: issues  
for independent directors of bank-related funds, variable insurance  
product funds, and closed-end funds.

21/AA,AN,TI/16 (Item 3 from file: 148)  
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.  
10915271 SUPPLIER NUMBER: 54260310  
OECD economic surveys: 1998-1999. (includes related articles on the 1998  
fiscal developments, 1999 budget, 1992 tax reform, sustainable  
development, Kyoto protocol) (Organization for Economic Co-operation and  
Development)

21/AA,AN,TI/17 (Item 4 from file: 148)  
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.  
10011334 SUPPLIER NUMBER: 20223360  
When employees are stepping out... (workplace-dating problems)

21/AA,AN,TI/18 (Item 5 from file: 148)  
DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.

07885835 SUPPLIER NUMBER: 16926601

The values jury to aid natural resource decisions. (Speculations)

21/AA,AN,TI/19 (Item 6 from file: 148)

DIALOG(R)File 148:(c)2003 The Gale Group. All rts. reserv.

04636016 SUPPLIER NUMBER: 08351047

Ethical principles in critical care.